

7-25-01

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07/24/01

PATENT

Docket No. 9222.16792

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application
Assistant Commissioner for Patents
Washington, D.C. 20231

09/911874 PRO
07/24/01

NEW APPLICATION TRANSMITTAL Under 37 CFR § 1.53(b)

Transmitted herewith for filing is the patent application of

Inventor(s): David Utley; and Stuart D. Edwards

WARNING: 37 C.F.R. § 1.41(a)(1) points out:

'(a) A patent is applied for in the name or names of the actual inventor or inventors.'

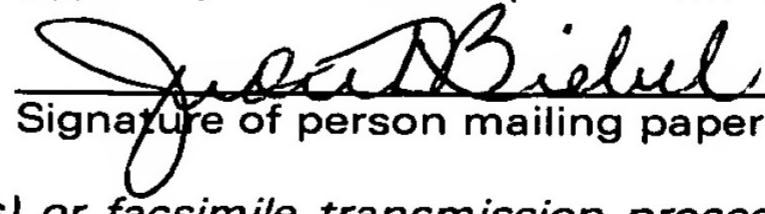
- (1) *The inventorship of a nonprovisional application is that inventorship set forth in the oath or declaration as prescribed by § 1.63, except as provided for in § 1.53(d)(4) and § 1.63(c). If an oath or declaration as prescribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship is that inventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under this paragraph accompanied by the fee set forth in § 1.17(i) is filed supplying or changing the name or names of the inventor or inventors.*

For (title): GERD Treatment Apparatus and Method

CERTIFICATION UNDER 37 C.F.R. 1.10*
(Express Mail label number is mandatory.)
Express Mail certification is optional.)

I hereby certify that this New Application Transmittal and the documents referred to as attached therein are being deposited with the United States Postal Service on this date 24 July 2001, in an envelope as 'Express Mail Post Office to Addressee' mailing Label Number EL746528115US, addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

Judith Biebel
(type or print name of person mailing paper)


Signature of person mailing paper

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

WARNING: Each paper or fee filed by "Express Mail" must have the number of the Express Mail mailing label placed thereon prior to mailing. 37 CFR 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition. 'Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

1. Type of Application

This new application is for a(n)

(check one applicable item below)

- Original (nonprovisional)
- Design
- Plant

WARNING: *Do not use this transmittal for a completion in the U.S. of an International Application under 35 U.S.C. 371(c)(4), unless the International Application is being filed as a divisional, continuation or continuation-in-part application.*

WARNING: *Do not use this transmittal for the filing of a provisional application.*

NOTE: *If one of the following 3 items apply then complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF A PRIOR U.S. APPLICATION CLAIMED and a NOTIFICATION IN PARENT APPLICATION OF THE FILING OF THIS CONTINUATION APPLICATION.*

- Divisional.
- Continuation.
- Continuation-in-part (C-I-P).

2. Benefit of Prior U.S. Application(s) (35 U.S.C. 119(e), 120, or 121)

NOTE: *A nonprovisional application may claim an invention disclosed in one or more prior filed copending nonprovisional applications or copending international applications designating the United States of America. In order for a nonprovisional application to claim the benefit of a prior filed copending nonprovisional application or copending international application designating the United States of America, each prior application must name as an inventor at least one inventor named in the later filed nonprovisional application and disclose the named inventor's invention claimed in at least one claim of the later filed nonprovisional application in the manner provided by the first paragraph of 35 U.S.C. 112. Each prior application must also be:*

- (i) *An international application entitled to a filing date in accordance with PCT Article 11 and designating the United States of America; or*
- (ii) *Complete as set forth in § 1.51(b); or*
- (iii) *Entitled to a filing date as set forth in § 1.53(b) or § 1.53(d) and include the basic filing fee set forth in § 1.16; or*
- (iv) *Entitled to a filing date as set forth in § 1.53(b) and have paid therein the processing and retention fee set forth in § 1.21(l) within the time period set forth in § 1.53(f). 37 C.F.R. § 1.78(a)(1).*

NOTE: *If the new application being transmitted is a divisional, continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., or benefit of a prior provisional application is claimed, then check the following item and complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.*

WARNING: *If an application claims the benefit of the filing date of an earlier filed application under 35 U.S.C. 120, 121 or 365(c), the 20-year term of that application will be based upon the filing date of the earliest U.S. application that the application makes reference to under 35 U.S.C. 120, 121 or 365(c). (35 U.S.C. 154(a)(2) does not take into account, for the determination of the patent term, any application on which priority is claimed under 35 U.S.C. 119, 365(a) or 365(b).) For a c-i-p application, applicant should review whether any claim in the patent that will issue is supported by an earlier application and, if not, the applicant should consider canceling the reference to the earlier filed application. The term of a patent is not based on a claim-by-claim approach. See Notice of April 14, 1995, 60 Fed. Reg. 20,195, at 20,205.*

WARNING: When the last day of pendency of a provisional application falls on a Saturday, Sunday, or Federal holiday within the District of Columbia, any nonprovisional application claiming benefit of the provisional application must be filed prior to the Saturday, Sunday, or Federal holiday within the District of Columbia. See 37 C.F.R. § 1.78(a)(3).

- [x] The new application being transmitted claims the benefit of prior U.S. application(s). Enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

3. Papers Enclosed

- A. Required for filing date under 37 C.F.R. § 1.53(b) (Regular) or 37 C.F.R. § 1.153 Design) Application

<u>24</u>	Pages of specification
<u>14</u>	Pages of claims
<u>01</u>	Abstract
<u>34</u>	Sheets of drawing
[]	formal
[x]	informal

- B. Other documents enclosed:

WARNING: DO NOT submit original drawings. A high quality copy of the drawings should be supplied when filing a patent application. The drawings that are submitted to the Office must be on strong, white, smooth, and non-shiny paper and meet the standards according to § 1.84. If corrections to the drawings are necessary, they should be made to the original drawing and a high-quality copy of the corrected original drawing then submitted to the Office. Only one copy is required or desired. For comments on proposed then-new 37 CFR 1.84, see Notice of March 9, 1988 (1990 O.G. 57-62).

NOTE: "Identifying indicia, if provided, should include the application number or the title of the invention, inventor's name, docket number (if any), and the name and telephone number of a person to call if the Office is unable to match the drawings to the proper application. This information should be placed on the back of each sheet of drawing a minimum distance of 1.5 cm. (518 inch) down from the top of the page . . ." 37 C.F.R. 1.84(c)).

(complete the following, if applicable)

- [] The enclosed drawing(s) are photograph(s), and there is also attached a "PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)." 37 C.F.R. 1.84(b).

4. Additional papers enclosed

- [x] Preliminary Amendment
[x] Information Disclosure Statement (37 C.F.R. 1.98)
[x] Form PTO-1449 (PTO/SB/08A and 08B)
[] Citations
[] Declaration of Biological Deposit
[] Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.
[] Authorization of Attorney(s) to Accept and Follow Instructions from Representative

- Special Comments
 Other TERMINAL DISCLAIMER

5. Declaration or oath

NOTE: A newly executed declaration is not required in a continuation or divisional application provided that the prior nonprovisional application contained a declaration as required, the application being filed is by all or fewer than all the inventors named in the prior application, there is no new matter in the application being filed, and a copy of the executed declaration filed in the prior application (showing the signature or an indication thereon that it was signed) is submitted. The copy must be accompanied by a statement requesting deletion of the names of person(s) who are not inventors of the application being filed. If the declaration in the prior application was filed under § 1.47, then a copy of that declaration must be filed accompanied by a copy of the decision granting § 1.47 status or if a nonsigning person under § 1.47 has subsequently joined in a prior application, then a copy of the subsequently executed declaration must be filed. See 37 C.F.R. ff 1.63(cO).

- Enclosed
- newly executed
 - copy from parent application identified above
Executed by (check all applicable boxes)
 - inventor(s).
 - legal representative of inventor(s).
37 CFR 1.42 or 1.43.
 - joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
 - This is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached. See Item 13 below for fee.
- Not Enclosed.

NOTE: Where the filing is a completion in the U.S. of an International Application or where the completion of the U.S. application contains subject matter in addition to the International Application, the application may be treated as a continuation or continuation-in-part, as the case may be, utilizing ADDED PAGE FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION CLAIMED.

- Application is made by a person authorized under 37 C.F.R. 1.41(c) on behalf of all the above named inventor(s).
(The declaration or oath, along with the surcharge required by 37 CFR 1.16(e) can be filed subsequently).

NOTE: It is important that all the correct inventor(s) are named for filing under 37 CFR 1.41(c) and 1.53(b).

- Showing that the filing is authorized.
(not required unless called into question. 37 CFR 1.41(d))

6. Inventorship Statement

WARNING: If the named inventors are each not the inventors of all the claims an explanation, including the ownership of the various claims at the time the last claimed invention was made, should be submitted.

The inventorship for all the claims in this application are:

- The same.

or

[] Not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made

- [] is submitted.
[] will be submitted.

7. Language

NOTE: An application including a signed oath or declaration may be filed in a language other than English. An English translation of the non-English language application and the processing fee of \$130.00 required by 37 CFR 1.17(k) is required to be filed with the application, or within such time as may be set by the Office. 37 CFR 1.52(d).

- [x] English
[] Non-English
[] The attached translation includes a statement that the translation is accurate. 37 C.F.R. 1.52(d).

8. Assignment

- [x] An assignment of the Invention to Curon Medical, Inc.
[] is attached. A separate [] COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION or [] FORM PTO 1595 is also attached.
[] will follow.
[x] was filed in the parent application identified above

NOTE: "If an assignment is submitted with a new application, send two separate letters - one for the application and one for the assignment" Notice of May 4, 1990 (1114 O.G. 77-78).

WARNING: A newly executed "CERTIFICATE UNDER 37 CFR 3.73(b) must be filed when a continuation-in-part application is filed by an assignee. Notice of April 30, 1993, 11,50 O.G. 62-64.

9. CERTIFIED COPY

Certified copy(ies) of application(s)

Country	Appln. No.	Filed
Country	Appln. No.	Filed
Country	Appln. No.	Filed
Country	Appln. No.	Filed

from which priority is claimed

- [] is (are) attached.
[] will follow.

NOTE: The foreign application forming the basis for the claim for priority must be referred to in the oath or declaration. 37 CFR 1.55(a) and 1.63.

NOTE: This item is for any foreign priority for which the application being filed directly relates. If any parent U.S. application or International Application from which this application claims benefit under 35 U.S.C. 120 is itself entitled to priority from a prior foreign application, then complete item 18 on the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

10. Fee Calculation (37 C.F.R. 1.16)

A. Regular application

CLAIMS AS FILED				
	Number Filed	Number Extra	Rate	Basic Fee 37 CFR 1.16(a) \$710.00
Total Claims 37 CFR 1.16(c)	82 -20 =	62	x \$ 18.00	1,116
Independent Claims (37 CFR 1.16(b))	2 - 3 =	0	x \$ 80.00	0
Multiple Dependent claim(s) if any (37 CFR 1.16(d))			+ \$270.00	0

- Amendment cancelling extra claims enclosed.
 Amendment deleting multiple-dependencies enclosed.
 Fee for extra claims is not being paid at this time.

NOTE: If the fees for extra claims are not paid on filing they must be paid or the claims cancelled by amendment, prior to the expiration of the time period set for response by the Patent and Trademark Office in any notice of fee deficiency. 37 CFR 1.16(d).

Filing Fee Calculation

1826.00

B. Design application
(\$320.00 - 37 CFR 1.16(f))

Filing Fee Calculation _____

C. Plant application
(\$490.00 - 37 CFR 1.16(g))

Filing Fee Calculation _____

11. Small Entity Statement

The Applicant is a Small Entity as defined by 37 CFR 1.9 and 1.27 and is entitled to small entity status.

WARNING: "Status as a small entity must be specifically established in each application or patent in which the status is available and desired. Status as a small entity in one application or patent does not affect any other application or patent, including applications or patents which are directly or indirectly dependent upon the application or patent in which the status has been established. The refiling of an application under § 1.53 as a continuation, division, or continuation-in-part (including a continued prosecution application under § 1.53(d)), or the filing of a reissue application requires new determination as to continued entitlement to small entity status for the continuing or reissue application. A nonprovisional application claiming benefit under 35 U.S.C. 119(e), 120, 121, or 365(c) of a prior application, or a reissue application may rely on a statement filed in the prior application or in the patent if

the nonprovisional application or the reissue application includes a reference to the statement in the prior application or in the patent or includes a copy of the statement in the prior application or in the patent and status as a small entity is still proper and desired. The payment of the small entity basic statutory filing fee will be treated as such a reference for purposes of this section." 37 C.F.R. § 1.28(a)(2).

SMALL ENTITY FILING FEE 712.00

NOTE: Any excess of the full fee paid will be refunded if small entity status is established and a refund request are filed within 2 months of the date of timely payment of a full fee. The two-month period is not extendable under § 1.136, 37 CFR 1.28(a).

12. Request for International-Type Search (37 C.F.R. 1.104(d))

(complete, if applicable)

- [] Please prepare an international-type search report for this application at the time when national examination on the merits takes place.

13. Fee Payment Being Made at This Time

- [x] Not Enclosed

[] No filing fee is to be paid at this time.
(This and the surcharge required by 37 C.F.R. 1.16(e) can be paid subsequently.)

- [] Enclosed

- [] Filing fee _____

[] Recording assignment
(\$40.00; 37 C.F.R. 1.21(h))
*(See attached 'COVER SHEET FOR
ASSIGNMENT ACCOMPANYING NEW
APPLICATION.)*

[] Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached
(\$130.00; 37 C.F.R. 1.47 and 1.17(i))

[] For processing an application with a specification in a non-English language
(\$130.00; 37 C.F.R. 1.52(d) and 1.17(k))

[] Processing and retention fee
(\$130.00; 37 C.F.R. 1.53(d) and 1.21(l))

[] Fee for international-type search report
(\$40.00; 37 C.F.R. 1.21(e))

NOTE: 37 CFR 1.21(l) establishes a fee for processing and retaining any application that is abandoned for failing to complete the application pursuant to 37 CFR 1.53(o) and this, as well as the changes to 37 CFR 1.53 and 1.78(a)(1), indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee must be paid, or the processing and retention fee of § 1.21(l) must be paid, within 1 year from notification under § 53(f).

Total fees enclosed

- 0 -

14. Method of Payment of Fees

[] Check in the amount of \$_____.

[] Charge Account No. _____ in the amount of _____.
A duplicate of this transmittal is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 CFR 1.22(b).

15. Authorization to Charge Additional Fees

WARNING If no fees are to be paid on filing, the following items should not be completed.
WARNING Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.

[] The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No._____

[] 37 C.F.R. 1.16(a), (f) or (g) (filing fees)
[] 37 C.F.R. 1.16(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 CFR 1.16(d)), It might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

[] 37 C.F.R. 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
[] 37 C.F.R. §§ 1.17(a)(1-5) (extension fees pursuant to § 1.136(a)).
[] 37 C.F.R. 1.17 (application processing fees)

NOTE: A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission. 37 C.F.R. 1.136(a)(3).

[] 37 C.F.R. 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. 1.311(b))

NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 CFR 1.311(b).

NOTE: 37 CFR 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to small entity status must be filed in the application..... prior to paying, or at the time of paying, . . . issue fee." From the wording of 37 CFR 1.28(b), (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

16. Instructions as to Overpayment

NOTE "... Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

[] Credit Account No. _____

[] Refund

Reg. No. 29,243

Tel. No.: (262) 783 - 1300

SIGNATURE OF PRACTITIONER

Daniel D. Ryan

(type or print name of attorney)

RYAN KROMHOLZ & MANION, S.C.

(P.O. Address)

Post Office Box 26618

MILWAUKEE, WISCONSIN 53226

- Incorporation by reference of added pages

(check the following item if the application in this transmittal claims the benefit of prior U.S. application(s) (including an international application entering the U.S. stage as a continuation, divisional or C-I-P application) and complete and attach the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED)

- Plus Added Pages for New Application Transmittal Where Benefit of Prior U.S. Application(s) Claimed

Number of pages added 4

- Plus Added Pages for Papers Referred to in Item 4 Above

Number of pages added _____

- Plus added pages deleting names of inventor(s) named in prior application(s) who is/are no longer inventor(s) of the subject matter claimed in this application.

Number of pages added _____

- "Assignment Cover Letter Accompanying New Application"

Number of pages added _____

- Statement Where No Further Pages Added

(if no further pages form a part of this Transmittal, then end this Transmittal with this page and check the following item)

- This transmittal ends with this page.

PATENT

**ADDED PAGES FOR APPLICATION TRANSMITTAL WHERE BENEFIT
OF PRIOR U.S. APPLICATION(S) CLAIMED**

NOTE: "In order for an application to claim the benefit of a prior filed copending national application, the prior application must name as an inventor at least one inventor named in the later filed application and disclose the named inventor's invention claimed in at least one claim of the later filed application in the manner provided by the first paragraph of 35 U.S.C. 112." 37 CFR 1.78(a).

NOTE: "IN ADDITION THE PRIOR APPLICATION MUST BE (1) COMPLETE AS SET FORTH IN S 1.51, OR (2) ENTITLED TO A FILING DATE AS SET FORTH IN S 1.53(B) AND INCLUDE THE BASIC FILING FEE SET FORTH IN S 1.16; OR (3) ENTITLED TO A FILING DATE AS SET FORTH IN S 1.53(B) AND HAVE PAID THEREIN THE PROCESSING AND RETENTION FEE SET FORTH IN S 1.21(L) WITHIN THE TIME PERIOD SET FORTH IN S 1.53(D)." 37 CFR 1.78(A).

17. Relate Back-35 U.S.C. 120

NOTE: "ANY APPLICATION CLAIMING THE BENEFIT OF A PRIOR FILED COPENDING NATIONAL OR INTERNATIONAL APPLICATION MUST CONTAIN OR BE AMENDED TO CONTAIN IN THE FIRST SENTENCE OF THE SPECIFICATION FOLLOWING THE TITLE A REFERENCE TO SUCH PRIOR APPLICATION IDENTIFYING IT BY SERIAL NUMBER AND FILING DATE OR INTERNATIONAL APPLICATION NUMBER AND INTERNATIONAL FILING DATE AND INDICATING THE RELATIONSHIP OF THE APPLICATIONS." 37 CFR 1.78(A). SEE ALSO THE NOTICE OF APRIL 28, 1987 (1079 O.G. 32 TO 46).

[x] The Specification has been amended to read as follows:

Cross-Related Application:

This application is a continuation of co-pending US. Patent Application Serial No. 09/007,237, filed January 14, 1998.

NOTE: THE PROPER REFERENCE TO A PRIOR FILED PCT APPLICATION WHICH ENTERED THE U.S. NATIONAL PHASE IS THE U.S. SERIAL NUMBER AND THE FILING DATE OF THE PCT APPLICATION WHICH DESIGNATED THE U.S.

NOTE: (1) WHERE THE APPLICATION BEING TRANSMITTED ADDS SUBJECT MATTER TO THE INTERNATIONAL APPLICATION THEN THE FILING CAN BE AS A CONTINUATION-IN-PART OR (2) IT IS DESIRED TO DO SO FOR OTHER REASONS, E.G. WHERE NO DECLARATION IS AVAILABLE, NO ENGLISH TRANSLATION IS AVAILABLE OR NO FEE IS TO BE PAID ON FILING THEN THE FILING CAN BE AS A CONTINUATION. IN THESE CASES THE INTERNATIONAL APPLICATION DESIGNATING THE U.S. IS TREATED AS THE PARENT CASE IN THE U.S. AND IS AN ALTERNATIVE TO THE COMPLETION OF THE INTERNATIONAL APPLICATION UNDER 35 U.S.C. 371(C)(4) WHICH MUST MEET THE REQUIREMENTS OF 37 CFR 1.61(A). THIS ALTERNATIVE PERMITS THE COMPLETION OF THE FILING REQUIREMENTS WITHIN ANY TERM SET BY THE PTO UNDER 37 CFR 1.53(D) TO WHICH THE EXTENSION PROVISIONS OF 37 CFR 1.136(A) APPLY. (WHEREAS, IF THE FILING IS AS AN INTERNATIONAL APPLICATION ENTERING THE U.S. STAGE THEN THE FEE, DECLARATION AND/OR ENGLISH TRANSLATION (WHERE NECESSARY) IS DUE WITHIN 20 MONTHS OF THE PRIORITY DATE BUT CAN BE PAID WITHIN 22 MONTHS OF THE PRIORITY DATE (OR IS DUE WITHIN 30 MONTHS OF THE PRIORITY DATE BUT CAN BE SUBMITTED WITHIN 32 MONTHS OF THE PRIORITY DATE) WITH THE SURCHARGES SET FORTH IN 37 CFR 1.492(E), (F) AND 37 CFR 1.495(C); HOWEVER, THE PROVISIONS OF 37 CFR 1.136 DO NOT APPLY TO THIS 22 OR (32 MONTH) PERIOD. 37 CFR 1.61(B).)

NOTE: THE DEADLINE FOR ENTERING THE NATIONAL PHASE IN THE U.S. FOR AN INTERNATIONAL APPLICATION WAS CLARIFIED IN THE NOTICE OF APRIL 28, 1987 (1079 O.G. 32 TO 46) AS FOLLOWS:

"The Patent and Trademark Office considers the International application to be pending until the 22nd month from the priority date if the United States has been designated and no Demand for International Preliminary Examination has been filed prior to the expiration of the 19th month from the priority date and until the 32nd month from the priority date if a Demand for International Preliminary Examination which elected the United States of America has been filed prior to the expiration of the 19th month from the priority date, provided that a copy of the international application has been communicated to the Patent and Trademark Office within the 20 or 30 month period respectively. If a copy of the international application has not been communicated to the Patent and Trademark Office within the 20 or 30 month period respectively, the international application becomes abandoned as to the United States 20 or 30 months from the priority date respectivley. These periods have been placed in the rules as paragraph (h) of S 1.494 and paragraph (i) of S 1.495. A continuing application under 35 U.S.C. 365(c) and 120 may be filed anytime during the pendency of the international application."

18. Relate Back-35 U.S.C. 119 Priority Claim for Prior Application

The prior U.S. application(s), including any prior International Application designating the U.S., identified above in item 17, in turn itself claim(s) foreign priority (ies) as follows:

country	appl. no.	filed on
The certified copy (ies) has (have)		
[]	been filed on _____ in prior application 0 / _____ which was filed on _____.	
[]	is (are) attached	

WARNING: THE CERTIFIED COPY OF THE PRIORITY APPLICATION WHICH MAY HAVE BEEN COMMUNICATED TO THE PTO BY THE INTERNATIONAL BUREAU MAY NOT BE RELIED ON WITHOUT ANY NEED TO FILE A CERTIFIED COPY OF THE PRIORITY APPLICATION IN THE CONTINUING APPLICATION. THIS IS SO BECAUSE THE CERTIFIED COPY OF THE PRIORITY APPLICATION COMMUNICATED BY THE INTERNATIONAL BUREAU IS PLACED IN A FOLDER AND IS NOT ASSIGNED A U.S. SERIAL NUMBER UNLESS THE NATIONAL STAGE IS ENTERED. SUCH FOLDERS ARE DISPOSED OF IF THE NATIONAL STAGE IS NOT ENTERED. THEREFORE SUCH CERTIFIED COPIES MAY NOT BE AVAILABLE IF NEEDED LATER IN THE PROSECUTION OF A CONTINUING APPLICATION. AN ALTERNATIVE WOULD BE TO PHYSICALLY REMOVE THE PRIORITY DOCUMENTS FROM THE FOLDERS AND TRANSFER THEM TO THE CONTINUING APPLICATION. THE RESOURCES REQUIRED TO REQUEST TRANSFER, RETRIEVE THE FOLDERS, MAKE SUITABLE RECORD NOTATIONS, TRANSFER THE CERTIFIED COPIES, ENTER AND MAKE A RECORD OF SUCH COPIES IN THE CONTINUING APPLICATION ARE SUBSTANTIAL. ACCORDINGLY, THE PRIORITY DOCUMENTS IN FOLDERS OF INTERNATIONAL APPLICATIONS WHICH HAVE NOT ENTERED THE NATIONAL STAGE MAY NOT BE RELIED ON. NOTICE OF APRIL 28, 1987 (1079 O.G. 32 TO 46).

19. Maintenance of Copendency of Prior Application

NOTE: THE PTO FINDS IT USEFUL IF A COPY OF THE PETITION FILED IN THE PRIOR APPLICATION EXTENDING THE TERM FOR RESPONSE IS FILED WITH THE PAPERS CONSTITUTING THE FILING OF THE CONTINUATION APPLICATION. NOTICE OF NOVEMBER 5, 1985 (1060 O.G. 27).

A. [] Extension of time in prior application

(This item MUST BE COMPLETED AND THE PAPERS FILED IN THE PRIOR APPLICATION IF THE PERIOD SET IN THE PRIOR APPLICATION HAS RUN)

[] A petition, fee and response extends the term in the pending prior

[] application until _____.
[] A copy of the petition filed in prior application is attached

B. [] Conditional Petition for Extension of Time in Prior Application

(complete this item if previous item not applicable)

- [] A conditional petition for extension of time is being filed in the pending prior application.
- [] A copy of the conditional petition filed in the prior application is attached

20. Further Inventorship Statement Where Benefit of Prior Application(s) Claimed

NOTE: IF THE CONTINUATION, CONTINUATION-IN-PART, OR DIVISIONAL APPLICATION IS FILED BY LESS THAN ALL THE INVENTORS NAMED IN THE PRIOR APPLICATION A STATEMENT MUST ACCOMPANY THE APPLICATION WHEN FILED REQUESTING DELETION OF THE NAMES OF THE PERSON OR PERSONS WHO ARE NOT INVENTORS OF THE INVENTION BEING CLAIMED IN THE CONTINUATION, CONTINUATION-IN-PART, OR DIVISIONAL APPLICATION. 37 CFR 1.62(A) [EMPHASIS ADDED]. (DEALING WITH THE FILE WRAPPER CONTINUATION SITUATION).

NOTE: IN THE CASE OF A CONTINUATION-IN-PART APPLICATION WHICH ADDS AND CLAIMS ADDITIONAL DISCLOSURE BY AMENDMENT, AN OATH OR DECLARATION AS REQUIRED BY 37 CFR 1.63 MUST BE FILED. IN THOSE SITUATIONS WHERE A NEW OATH OR DECLARATION IS REQUIRED DUE TO ADDITIONAL SUBJECT MATTER BEING CLAIMED, ADDITIONAL INVENTORS MAY BE NAMED IN THE CONTINUING APPLICATION. IN A CONTINUATION OR DIVISIONAL APPLICATION WHICH DISCLOSES AND CLAIMS ONLY SUBJECT MATTER DISCLOSED IN A PRIOR APPLICATION, NO ADDITIONAL OATH OR DECLARATION IS REQUIRED AND THE APPLICATION MUST NAME AS INVENTORS THE SAME OR LESS THAN ALL THE INVENTORS IN THE PRIOR APPLICATION. 37 CFR 1.60(C). (DEALING WITH THE CONTINUATION SITUATION).

(complete applicable item (a), (b) and/or (c) below)

- (a) [x] This application discloses and claims only subject matter disclosed in the prior application whose particulars are set out above and the inventor(s) in this application are
- [] the same.
- [] less than those named in the prior application and it is requested that the following inventor(s) identified for the prior application be deleted:

(type name(s) of inventor(s) to be deleted)

- (b) [] This application discloses and claims additional disclosure and a new declaration or oath is being filed. With respect to the prior application the inventor(s) in this application are
- [] the same.
- [x] the following additional inventor(s) have been added

David Utley

(type name(s) of inventor(s) to be added)

- (c) The inventorship for all the claims in this application are
- the same.
- not the same, and an explanation, including the ownership of the various claims at the time the last claimed invention was made
 is submitted.
 will be submitted.

21. Abandonment of Prior Application (if applicable)

- Please abandon the prior application at a time while the prior application is pending or when the petition for extension of time or to revive in that application is granted and when this application is granted a filing date so as to make this application copending with said prior application.

NOTE: ACCORDING TO THE NOTICE OF MAY 13, 1983 (103, TMOG 6-7) THE FILING OF A CONTINUATION OR CONTINUATION-IN-PART APPLICATION IS A PROPER RESPONSE WITH RESPECT TO A PETITION FOR EXTENSION OF TIME OR A PETITION TO REVIVE AND SHOULD INCLUDE THE EXPRESS ABANDONMENT OF THE PRIOR APPLICATION CONDITIONED UPON THE GRANTING OF THE PETITION AND THE GRANTING OF A FILING DATE TO THE CONTINUING APPLICATION.

22. Petition for Suspension of Prosecution for the Time Necessary to File an Amendment

WARNING:

THE CLAIMS OF A NEW APPLICATION MAY BE FINALLY REJECTED IN THE FIRST OFFICE ACTION IN THOSE SITUATIONS WHERE (1) THE NEW APPLICATION IS A CONTINUING APPLICATION OF, OR A SUBSTITUTE FOR, AN EARLIER APPLICATION, AND (2) ALL THE CLAIMS OF THE NEW APPLICATION (A) ARE DRAWN TO THE SAME INVENTION CLAIMED IN THE EARLIER APPLICATION, AND (B) WOULD HAVE BEEN PROPERLY FINALLY REJECTED ON THE GROUNDS OF ART OF RECORD IN THE NEXT OFFICE ACTION IF THEY HAD BEEN ENTERED IN THE EARLIER APPLICATION." MPEP, § 706.07(B).

NOTE: WHERE IT IS POSSIBLE THAT THE CLAIMS ON FILE WILL GIVE RISE TO A FIRST ACTION FINAL FOR THIS CONTINUATION APPLICATION AND FOR SOME REASON AN AMENDMENT CANNOT BE FILED PROMPTLY (E.G., EXPERIMENTAL DATA IS BEING GATHERED) IT MAY BE DESIRABLE TO FILE A PETITION FOR SUSPENSION OF PROSECUTION FOR THE TIME NECESSARY.

(check the next item, if applicable)

- There is provided herewith a Petition To Suspend Prosecution for the Time Necessary to File An Amendment (New Application Filed Concurrently)

Attorney's Docket No. 9222.16792-CON

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of David S. Utley et al.

Group Art Unit: Unknown

Serial No.: Unknown

Examiner: Unknown

Filed: Unknown

For: GERM Treatment Apparatus and Method

Commissioner of Patents and Trademarks
Washington, D.C. 20231

31017 U.S.P.T.O.
09/911874 PTO
07/24/01

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT WITHIN
THREE MONTHS OF FILING OR BEFORE MAILING OF FIRST OFFICE ACTION
(37 CFR 1.97(b))

NOTE: "An information disclosure statement shall be considered by the Office if filed: (1) within three months of the filing date of a national application; (2) within three months of the date of entry of the national stage as set forth in S 1.491 in an international application; or (3) before the mailing date of a first Office action on the merits, whichever event occurs last." 37 CFR 1.97(b).

NOTE: The "filing date of a national application" under 37 CFR 1.97(b) has two possible meanings. Where the filing is a direct one to the United States Patent & Trademark Office, the filing is defined in 37 CFR 1.53(b) as "the date on which: (1) A specification containing a description pursuant to S 1.71 and at least one claim pursuant to S 1.75; and (2) any drawing required by S 1.81(a), are filed in the Patent and Trademark Office in the name of the actual inventor or inventors as required by S 1.41." 37 CFR 1.97(b)(1). On the other hand, an international application that enters the national stage occurs when the applicant has filed the documents and fees required by 35 U.S.C. S 371(c) within the periods set forth in S 1.494 or S 1.495. 35 U.S.C. S 371(c) requires the filing of the following: (1) the national fee; (2) a copy of the international application, unless already sent by the International Bureau, and an English translation if filed in another language; (3) amendments under PCT Article 19, with a translation into English if made in another language; (4) an oath or declaration; and (5) a translation into English of any annexes to the international preliminary examination report, if such annexes were made in another language. 37 CFR 1.97(b)(2).

IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING
INFORMATION

DISCLOSURE STATEMENT

The information disclosure statement submitted herewith is being filed WITHIN THREE MONTHS OF THE FILING DATE OF THE APPLICATION OR DATE OF ENTRY INTO THE NATIONAL STAGE OF AN INTERNATIONAL APPLICATION OR BEFORE THE MAILING DATE OF A FIRST OFFICE ACTION ON THE MERITS, WHICHEVER EVENT OCCURS LAST. 37 CFR 1.97(b).

CERTIFICATION UNDER 37 C.F.R. 1.10*

I hereby certify that this New Application Transmittal and the documents referred to as attached therein are being deposited with the United States Postal Service on this date 24 July 2001, in an envelope as 'Express Mail Post Office to Addressee' mailing Label Number EL746528115US, addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

Judith Biebel
(type or print name of person mailing paper)


Signature of person mailing paper

NOTE "NO CERTIFICATION OR FEE IS DUE WHEN THE FILING IS MADE WITHIN THE ABOVE TIME PERIOD. IT IS ADVISABLE TO ENSURE THAT NO OFFICE ACTION HAS BEEN MAILED IF THE DISCLOSURE STATEMENT IS DELAYED UNTIL AFTER THREE MONTHS FROM FILING.

NOTE: "An information disclosure statement will be considered to have been filed on the day it was received in the Office, or on an earlier date of a mailing if accompanied by a properly executed certificate of mailing under 37 CFR 1.8, or Express Mail certificate under 37 CFR 1.10. An Office action is mailed on the date indicated in the Office action." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

NOTE: "The term 'national application' includes continuing applications (continuations, divisions, continuations-in-part) so three-months will be measured from the actual filing date of an application as opposed [sic] to the effective date of a continuing application." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

NOTE: "An action on the merits means an action which treats the patentability of the claims in an application, as opposed to only formal or procedural requirements. An action on the merits would, for example, contain a rejection or indication of allowability of a claim or claims rather than just a restriction requirements (37 CFR 1.142) or just a requirement for additional fees to have a claim considered (37 CFR 1.16(d)). Thus, if an application was filed on Jan. 1 and the first Office action on the merits was not mailed until six months later on July 1, the examiner would be required to consider any proper information disclosure statement filed prior to July 1." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

WARNING: 'A PETITION FOR SUSPENSION OF ACTION TO ALLOW APPLICANT TIME TO SUBMIT AN INFORMATION DISCLOSURE STATEMENT WILL BE DENIED AS FAILING TO PRESENT GOOD AND SUFFICIENT REASONS, SINCE 37 CFR 1.97 PROVIDES ADEQUATE RECOURSE FOR THE TIMELY SUBMISSION OF PRIOR ART FOR CONSIDERATION BY THE EXAMINER.' NOTICE OF JULY 6, 1992 (1141 O.G. 63).

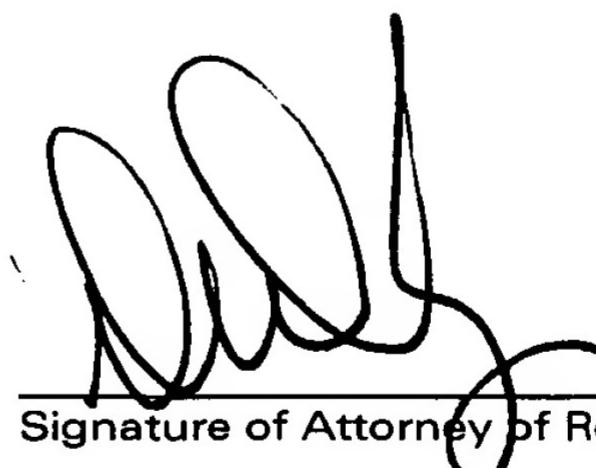
COPIES OF THE DOCUMENTS LISTED ON THE ATTACHED FORM PTO-1449 CAN BE FOUND IN THE FILE WRAPPER OF CO-PENDING PATENT APPLICATION SERIAL NO. 09/007,237 FILED 14 JANUARY 1998 AND ARE THEREFORE NOT INCLUDED WITH THIS SUBMISSION.

Should any fees be necessary in connection with this submission, please charge same to Account No. 06-2360.

Date 24 July 2001

Reg. No. 29,243

Telephone No.: (262) 783-1300



Signature of Attorney of Record

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